



# Appendix D

## *Samples Of Standard Operating Procedures (SOP'S)*

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### Introduction

Use the samples in this appendix as models when developing standard operating procedures (SOP) for a work location.

The models include a sample SOP for the following pathways:

- ◆ Air-Passenger Baggage( [page D-2](#))
- ◆ Maritime—Cargo ( [page D-3](#))
- ◆ Northern Border—Vehicle ( [page D-7](#))

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## **Sample SOP—Air Passenger Baggage**

### **Purpose**

To help PPQ become a results-oriented unit that uses information about AQI program performance and pathway risk to make decisions. AQIM will provide “hard” data for risk-based decision-making, and meet the requirements of the Government Performance and Results Act.

### **Background**

The National Performance Review is requiring agencies to objectively measure how well they are achieving their legislative missions. The Government Performance and Results Act requires that agencies develop accurate performance measurements as part of their budget submissions. AQIM is a valuable tool in performing risk assessment and is therefore an integral part of our selectivity approach.

### **Guidelines**

1. Random examinations will be 100 percent hand inspection of all hand and checked baggage by office. Inspections will take place at USDA tables. All seizures shall be bagged and labeled as an AQIM seizure. The seizures shall be thoroughly inspected for pests.
2. All member of a household on the same declaration (6059-B) will be examined and counted as one sample.
3. Every declaration that approaches the work location through the FIS will be considered, excluding diplomats with A-1, A-2 status, and ‘domestic’ declarations.
4. Sample size: 7,300 declarations per year—3,650 declarations per year at both ‘E’ and ‘B’ (10 per day at both ‘E’ and ‘B’).
5. AQIM should not interfere with and does not replace normal passenger processing operations. Officers will continue to perform secondary examinations during this sampling period.

### **Procedures**

Random times will be selected each day using SAMPLAN. Random times will be generated using previous weeks’ passenger projections. The site monitoring leaders will prepare the daily schedule and notify all working on the baggage floor of the designated times. Inspections shall be rotated among all personnel. At the designated time, the officer or technician at concourse ‘E’ responsible for selecting the passenger for inspection shall select the fifth passenger back from the checkpoint. Alternate between all open red and green lines when counting to select the fifth passenger. If the passenger selected has already been designated to go to PPQ Secondary, the passenger shall

also be included in the sample. At concourse 'B' at the designated time, the officer or technician will select the first passenger that enters the baggage carousel area from immigration. The selected passenger's declaration will be marked with the random time, the work 'random' and 'USDA' with a green marker. If a random inspection is missed, a passenger may be selected using the above procedures any time prior to the next random inspection. Make a note on the data form each time an inspection is missed. Include a brief note as to why the inspection was missed.

### Data Collection and Entry

1. Complete the PPQ Data Sheet for each examination.
2. Data forms will kept in a folder at the desk in PPQ secondary. Forms shall be taken to the operations office daily. Personnel assigned to the work unit shall share the task of data entry. The site leaders shall be responsible for ensuring data entry is completed within a reasonable time after inspection.

### Quality Control

The Risk Management Team will ensure forms are collected and data entered. Bi-weekly reports will be forwarded to the work sites by the Team on the progress of the monitoring program.

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## Sample SOP—Maritime Cargo

### Choosing And Inspecting The Sample

Exclusions:

- ◆ Commodities which are pre-cleared at foreign sites
- ◆ Frozen commodities, and those undergoing some type of mandatory treatment (for example: fumigation, irradiation, hot water, steam sterilization)
- ◆ Oil, salt, iron ore, coal, etc. which pose no risk
- ◆ Non-Reefer-AQI Interest that can be cleared with just a paperwork review

Exceptions: Mandatory cold treatments are **included**.

Sampling Unit: The random sampling unit is one container or container unit. A container unit is equivalent to 20 pallets or 20,000 kilograms for the purposes of AQI Monitoring when converting bulk shipments for sampling.

### **Reefer-AQI Interest (Refrigerated cargo normally held by PPQ)**

There will be a total of 87 sample containers or container units chosen per year. This will break out to around eight per month, or two per section per month. The two for each section will be chosen on designated days of the month, about every 2 weeks. The procedure for choosing the samples will be as follows:

- ◆ Use the 'calendar chart' supplied to determine the day the sample will be chosen.
- ◆ All of the active '212's' (Hold Sheets) in the section will be used for sampling.
- ◆ Put all the 212's in a pile and count the total number of pages (like it is one big hold sheet).
- ◆ Take this number and go to your 'Random Digit Page' (this number will represent the maximum number you can choose from 1-18? Or 1-32?).
- ◆ Go down the random digit page and select the first number that is within this range.
- ◆ Use this number as the 'page number' to turn to in your pile of 212's to begin sampling.
- ◆ Put all the other 212's behind this 'chosen' 212 and start reviewing the containers.
- ◆ Look for the first refrigerated container or container units you come to as you go down the sheet.
- ◆ Turn to the next page if necessary (or to the next 212 behind the one you are reviewing).
- ◆ When you have located the 'reefer' container, verify that it is not under an exclusion.
- ◆ If no exclusion, indicate "Random Sample Reefer AQI Interest" on the line next to it.
- ◆ Notify section personnel of the 'hold' and fill in information on 'Random Sample Chart.'

These containers will be stripped 100 percent, at one of the CES sites of an off-port warehouse approved by management. The number of cartons required for inspection will be determined using the hypergeometric table and random selection of those cartons will be emphasized.

### Non-Reefer AQI Interest: (Non-Refrigerated Cargo normally held by PPQ)

There will be a total of 87 sample containers or container units chosen per year. This will break out to around eight per month, or two per section per month. The two for each section will be chosen on designated days of the month, about every 2 weeks. The procedure for choosing the samples will be as follows:

- ◆ Follow the same procedures as stated above for 'Reefer' containers.
- ◆ If a container or container unit can be cleared by reviewing documents, then **choose** another container or container units.

These container units will be inspected based on the commodity, if it is regulated or not. If it is regulated, follow the 100 percent stripping procedures above. If it is unregulated, the normal inspectional procedures will apply, but a more intense exam is expected. Strip 100 percent if it is a mixed load.

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### Hypergeometric Table for Risk-Based Sampling

A table used to determine the number of boxes an officer must inspect, to reach a certain level of confidence (expressed in a percentile), that the officer will find a pest, at a certain percentage of infestation rate. AQIM has chosen to use risk-based sampling protocols for detecting 10 percent pest infestation rates. This means, to be 95 percent sure that the officer inspecting the sample container will find the pest when the shipment is infested at a 10 percent infestation level, the officer must select at random, a specific number of boxes in the shipment. The number of boxes is determined by using the hypergeometric table.

### Inspection Protocol

The inspection protocol will depend on the type of strata a container falls into. Each container is required to have a physical inspection of the commodity. Inspections shall be conducted during normal business hours at the port. Costs for overtime clearance will be paid by the shipper/broker/consignee.

The **Reefer-AQI Interest** will be a 100 percent strip, with the number of boxes required for inspection to be determined using the hypergeometric table (remembering that the randomness of each box chosen is very important). The container may be move to a CES site or off-port warehouse location approved by management.

The **Non-Reefer AQI Interest** container will be inspected based on the commodity. If it is a regulated commodity\* a 100 percent strip will be done using the hypergeometric table. If it is unregulated, the normal inspection procedures may be used, but requires a more intense examination. If it is a mixed load, you will have to follow the most restrictive mode of inspection. **\*An Important Note:** A non-reefer AQI interest container that can be cleared by reviewing documents, should be disregarded for monitoring purpose and another container chosen.

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## Documentation

During the trial period of this 'new' random sampling procedure, members of the Risk Management Team will be performing the duties involved in choosing and inspecting most of the random samples. This will be necessary so that team members can attempt to refine the process, so that it may be incorporated smoothly into a work site or section's daily function, allowing section personnel to easily and routinely perform these duties on their own in the near future.

Documentation will include: Choosing and holding random samples on the 212 or Hold Sheet; logging details about the sample chosen on a 'Random Sample chart' (including vessel, container number, date, B/L for reference, and possibly a random sample number, date held, date inspect); CES or warehouse transport form (if a container is required to be moved and stripped in another location); and finally the 'Inspection Result' forms for each strata sampled.

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## Charts And Forms Required

There will be certain charts and forms required by the officer performing the 'random sampling' procedure. Some of them have been already provided and some will be created to specifically answer a particular need. The following is what will be necessary to bring with you:

To choose the sample:    Calendar Chart  
                                     Random Digit Page  
                                     Random Sampling Chart  
                                     CES or Warehouse Transport Form

To inspect the sample:    Random Sampling Chart  
                                     CES or Warehouse Transport Form  
                                     Inspection Result Form (for the  
   appropriate strata)

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## **Samples SOP – Northern Border—Vehicles**

### **Ensuring Random Sampling**

In order to ensure that the vehicles selected are truly random. The officer will sample a vehicle that arrives at the primary customs booth in 15 minute time will be inspected. If no vehicle is at the booth when the sampling time occurs, the very next one to arrive will be selected. The 15 minute cycle then begins after the selection of the previous vehicle is completed.

If more than one primary lane is open, the inspection will alternate between each lane on a successive basis.

### **Degree of Inspection**

All randomly selected vehicles will undergo the 7 point inspection process.

All agriculture material intercepted during the border survey will be inspected. If the material is fruit, it will be brought back to the office and sliced up. The peel will also be inspected for scale insects or plant diseases.

Any plants seized during this time will also inspected. Leaves will be looked at under a microscope, as will stems, flowers, etc.

Any bulk materials seized (i.e., bags of rice, seeds, etc) will be brought back to the lab and also put under a microscope. The entire contents of a bag will be emptied into another container and sifted through. If there are numerous bags, an appropriate number will be sampled.

### **Local Area**

The local area will be considered 50 miles. All material seized from local travelers will be included in the survey.

**TABLE D-1: : Schedule of Random Sample Times Month**

Month	Day	Week	Shift	Actual Date	Hours
January	Tuesday	3	2	21st	1400-2230
February	Sunday	2	1	9th	0700-1530
March	Wednesday	2	1	12th	0800-1630
April	Friday	3	1	18th	0600-1430
May	Thursday	1	3	1st	2300-0730
June	Wednesday	4	2	25th	0700-1530
July	Sunday	3	1	20th	0800-1630
August	Monday	4	2	25th	1500-2330
September	Saturday	2	1	13th	0600-1430
October	Monday	1	1	6th	0700-1530
November	Tuesday	4	1	25th	0800-1630
December	Friday	1	1	6th	0600-1430